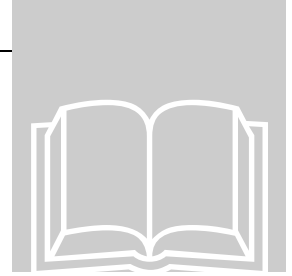




Unit Leadership Program

Developed by:
USCG Leadership Development Center



Administration and Introductions

The Unit Leadership Program was designed to be delivered to personnel at units throughout the Coast Guard by members of the command. It is a discussion guide for the leadership topics listed below. It is important to note that the goal of the program is to actively engage leaders, followers, and peers in meaningful discussions about the important and challenging topic of leadership. The program should not be delivered solely in a lecture-style format. It should be delivered in an open discussion format. The topics below are covered in a series of modules that can be presented on separate dates or all on the same date. While we recommend beginning with the module on Followership, the remaining modules may be delivered in any sequence.

Training Modules

- | | |
|-----------------------------------|---------------|
| • Followership | 60-90 minutes |
| • Performance Appraisal | 60 minutes |
| • Assertiveness | 20 minutes |
| • Accountability & Responsibility | 30 minutes |
| • Communication | 40-60 minutes |
| • Teamwork | 30-40 minutes |
| • Personal Ethics | 3 hours |
| • Hazing Awareness | 2 hours |
| • Leadership Competencies | 30 minutes |
| • Apollo 13 | 3 hours |
-

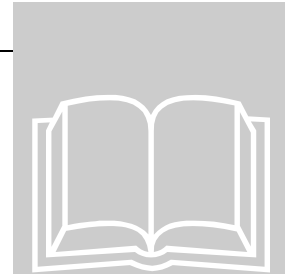
Welcome Begin the session by welcoming them to the training on leadership. The students may already be familiar with the presenters. If they are not, briefly introduce yourself and each of the other presenters.

Student Materials For many of the sessions, the participants will need a pen or pencil and some paper for note taking and activities.

Class Size Varies; 7-15 students is ideal.

Student Introductions Some groups may already know each other; some may not. Regardless, it is usually helpful to run the class through some type of introduction/icebreaker. This will help to loosen the students up prior to group discussions and will also let them know more about their shipmates. It's usually helpful if the discussion leader starts the group off with their own introduction. Some potential introduction topics include:

- Someone they would like to meet and why
 - Describe their dream vacation
-



Followership

This module demonstrates everyone in the Coast Guard is a Follower. The student should identify characteristics of good followers and relate how demonstrating good followership impacts one's leadership success.

Road Map

Followership

- Leadership Definition
- USCG Core Values
- Receiving Feedback
- Followership Definition
- Follower Characteristics
- Providing Feedback

STATE: The first thing we will do is to define leadership.

ASK: How would you define leadership?

You may get a variety of answers. Acknowledge all of them and look for similarities to:

YOU ⇒ OTHERS ⇒ GOAL
(YOU influencing OTHERS to achieve a GOAL)

**Leadership
Definition**

STATE: You are all close, but we are going to use the definition from the Coast Guard's Leadership and Quality Institute:

YOU influencing **OTHERS** to achieve a **GOAL**

STATE: Look at that definition. No where does it say a junior or senior, officers, chiefs, petty officers. Anyone can be a leader.

ASK: What are some of your leadership examples?

NOTE: A group of non-rates may not answer right away. Some examples may include (but are not limited to):

-Leading SN/FN

-Leading a work detail

-On smaller units, small boat coxswain, QMOW, JOOD, BTM, etc.

STATE: All of these people have roles as leaders. We are going to look at different aspects of leadership throughout this program.

NOTE: Be sure to provide writing paper and pens for this exercise!

ACTIVITY: Think of a leader who you respect a lot. It can be someone in the Coast Guard, an old sports coach, teacher, character in a book or movie. I want you to take a few minutes to write down five traits that made you respect that leader.

Give them 5 to 10 minutes to complete this task.

Have some of the people share their list. Look for similarities to the CG Core Values.

STATE: Look at your lists. I think it's fair to say that you would look for those traits in most leaders AND followers.

USCG Core Values

ASK: How many here know what the core values are? What are they?

Give them a chance to talk about the core values. Then read the following:

USCG Core Values

HONOR - Integrity is our standard. We demonstrate uncompromising ethical conduct and moral behavior in all of our personal actions. We are loyal and accountable to the public trust.

RESPECT - We value our diverse work force. We treat each other with fairness, dignity, and compassion. We encourage individual opportunity and growth. We encourage creativity through empowerment. We work as a team.

DEVOTION TO DUTY - We are professionals, military and civilian, who seek responsibility, accept accountability, and are committed to the successful achievement of our organizational goals. We exist to serve. We serve with pride.

ASK: How do the Coast Guard Core Values match your list of important values?

NOTE: The Core Values and their list will not be a perfect match, but many will have the same intent. The following examples are typical responses, but are not an inclusive list.

Trust -- Honor

Responsibility -- Devotion to Duty

Fair -- Respect

Funny -- Respect and devotion (if humor was used to motivate)

Honest -- Honor

Hard Working -- Devotion to Duty

Knowledgeable -- Devotion to Duty (learn all you can about a job)

ASK: What does it mean when your values closely match the organization's?

Despite a diverse background, our values have something in common.

ASK: So what do the core values have to do with leadership?

There are many possible responses. Let them work out a few answers on their own. The biggest impact has already been mentioned. All of their leaders had some set of “core values.” They respected those leaders because they had those values.

STATE: If you keep to the core values when using our definition of leadership, hopefully you’ll become like the leaders you respected.

Receiving Feedback

STATE: Despite our Core Values and similarities, we have our differences – often about how to do a job! When you find yourself in the receiving mode of feedback about your performance, there are a few things to keep in mind.

Receiving Feedback

- **Listen**
- **Don’t always try to defend your position**
- **Try to appreciate it**

STATE: The key to receiving feedback is to listen. Often we receive feedback but fail to realize it.

STATE: Even when we are listening, we can easily become defensive. Rather than getting defensive, hear the person out. You may not agree with what they have to say, but there’s no harm in keeping your options open by listening calmly.

STATE: Sometimes the feedback we get is just off the wall or unrealistic. In those cases, try to appreciate that the person was most likely attempting to offer a constructive suggestion. Of course, you should always carefully consider the feedback you receive before discarding it.

Why Talk About Followership?

ASK: How is talking about followership important to becoming a good leader?

Allow several people to answer. Look for answers similar to, “the way you handle yourself as a follower could have an effect on how others view you as a leader.”

STATE: The more we understand what makes an effective follower, the better our chances are of being an effective leader.

Followership Definition

ASK: How would you define FOLLOWERSHIP?

Wait for several people to offer suggestions. Most will be similar to the following.

STATE: The Coast Guard defines Followership as, “**Seeking** and accepting the command, guidance, or leadership of another.”

Everyone is a “Follower”

ASK: Looking at our definition of YOU ⇔ OTHERS ⇔ GOAL, where are you?

They are followers!

ASK: What about Chiefs? The Captain? How about the Commandant?

STATE: Everyone in the Coast Guard falls into the OTHERS part of our definition. Since everyone, even the Commandant, is a follower, let’s look at good followership.

Arrange the students in groups of 4-5 each and have them brainstorm a list of the characteristics of Good Followership. Tell them they have about 10 minutes to complete their list. Then they will share their list with the rest of the group.

NOTE: Be sure to provide writing paper and pens for this exercise!

Have each group present three items from their list. As they do, highlight similarities or themes. Look for: loyalty, initiative, dependability, commitment, learning from others, responsibility, effective communications, accountability, critical thinking, building credibility, aligning personal and organizational goals, and acting responsibly.

STATE: There are some characteristics of followers we’d like to look at a little deeper so we can get a better idea of what they look like.

**Follower
Characteristics**

Follower Characteristics

- Initiative
- Accountability
- Dependability
- Critical Thinking
- Learning from others
- Effective Communications
- Responsibility
- Commitment

Go over the characteristics by asking about the behaviors associated with each one.

For each characteristic:

ASK: “What does (characteristic) look like?” or “What kinds of things would a person with (this characteristic) do?”

Example: “What does initiative look like?” Possible answers - doing a job without being told to, looking for ways to help people above and beyond what is expected.

Example: “What kinds of things does a dependable person do?” Possible answers - shows up on time for meetings and duty, always ready to lend an extra hand.

Do this for the entire list of characteristics. Be sure to get examples!

NOTE: Other examples of behavior associated with the characteristics:

Learning from others - willing to admit that he or she doesn't know the answer, seeks information and learning opportunities.

Responsibility - takes ownership in job, doing what is right vice what is popular, doesn't need supervisor constantly looking over their shoulder to make sure the job gets done, includes responsibility to the organization/leader/co-workers/self.

Accountability - accepts the consequences (good or bad) for their actions, doesn't try to shift blame.

Critical thinking - solves problem and finds creative solutions on his or her own.

Effective communications - good listener, gets point across in a succinct and persuasive way.

Commitment - doesn't talk bad about the boss, willing to put in extra effort/time to get the job done.

Providing Feedback

ASK: Can we be committed to a job and still disagree with the boss?

YES!

ASK: When would it be appropriate to question an order from your boss?

Get specific examples, then provide examples of when it would **not** be appropriate.

ASK: If you don't agree with an order you have been given, is it OK to provide your boss with feedback on that order?

Don't be surprised if some of the group is cynical about this! But establish the point that it is OK if you can do it tactfully.

ASK: When you disagree with the boss, what are some ways to handle it tactfully?

Possible answers: providing alternatives, offering solutions, providing information, etc.

ASK: If you are **always** questioning orders from your leader and not following the chain of command, how will people who work for you react to your orders?

Expect answers like: begin to sound like a whiner, boss quits listening to and asking for feedback, your followers will begin to act the same way towards you, etc.

ASK: What other things would you consider when providing feedback to your boss?

Linking items from their list to the following visual will build buy-in for the concept.

**Rules for
Providing
Feedback**

STATE: Let's look closely at four **essential** rules for providing feedback.

Providing Feedback

- Risk Assessment
- Make sure environment is “right”
- Provide feedback on only 1 or 2 items
(to prevent overload)
- Focus on providing solutions & alternatives
(be constructive)

ASK: What are the risks from providing feedback?

ASK: What are the potential gains from providing feedback?

ASK: How do you know if this is really the time or place to address the issue?

STATE: You also want to make sure you don't overload them! Limit your feedback to one or two items. If you give more than that, they may get defensive and not listen or not try to change.

STATE: Finally, you want to shift the focus from what is wrong to what can be done to correct the situation. In other words, be sure the feedback is **CONSTRUCTIVE**!

STATE: Remember, being a good leader means showing others how to be a good follower. Be sure to keep this in mind when you provide feedback up the chain so that others will treat you similarly.

ASK: How does being a good follower impact our definition of leadership?

Knowing how to follow helps the leader effectively achieve the goal (YOU ⇨ OTHERS ⇨ GOAL).



Performance Appraisal

It is important to understand the enlisted performance system because it has impact on your career in the Coast Guard and is one of the primary ways the organization monitors the performance of its workforce.

Road Map

Performance Appraisal

- **Performance Evaluation**
- **Evaluation Forms**
- **Personnel Manual**
- **Relation to Advancement**

Performance
Evaluation

STATE: Enlisted performance evaluations are the “scorecards” supervisors use to rate your performance. We are going to look at your role in the evaluation process.

ASK: When are marks due for non-rates?

They may not know this--E3 Nov and May, E2 October and April

ASK: If you didn't know, where can you find information about the marking system?

The group may not know. Give them a few seconds to answer.

STATE: All of you need to read Chapter 10-B of the Personnel Manual to be familiar with the system. Today we'll look at some of the important sections of that chapter.

Evaluation
Forms

STATE: First, though, we are going to look at the Enlisted Performance Evaluation Form and Enlisted Evaluation Support Form for non-rated personnel.

NOTE: Pass out the marks form and the support form to all present.
--

Give the group enough time to read both forms. Be prepared to answer questions.

STATE: Take a good look at the various performance dimensions. Your marks are based on your behaviors compared to the written standards in the form. In other words, if you want a six in the PROFESSIONAL/SPECIALTY KNOWLEDGE performance dimension you have to display all of those behaviors in the "six" block.

STATE: The marks are based on the written standards found in the forms NOT compared to the performance of other people at the same rank or in the same rate.

STATE: It's important to remember that according to the PERSMAN: "A '4' represents the expected performance level of all enlisted personnel."

ASK: What impact should a single event, good or bad, have on a set of marks?

Let them answer, the response your looking for is "not much."

STATE: A single incident should not have a significant impact on a set of marks.

ASK: How long is a marking period for a non-rate?

Six months -- they should already know this.

STATE: Marks are a reflection of performance over a six-month period. One event, good or bad, should not impact marks. The supervisor needs to evaluate behavior over the entire marking period.

ASK: What were you doing 136 days ago?

None of them should be able to answer accurately. This question sets up their role in the marking system of keeping their supervisor informed.

STATE: So if you have trouble remembering what you did, imagine your supervisor tracking two, three or even a dozen people.

ASK: What can you do to help?

You may not get a lot of answers from them since they have little experience in tracking any performance, let alone their own. You want to build on the last question that marks are the responsibility of both the person being marked and the supervisor.

PERSMAN
(Change 27)

STATE: Let's go over the responsibilities of the person being marked (evaluee). This comes from 10-B-4 in the PERSMAN. The evaluatee is responsible for:

- 10-B-4-c-(1) "Learning the intent and procedures of the EPES as set forth within these prescribed guidelines"
- 10-B-4-c-(2) "Finding out what is expected on the job"
- 10-B-4-c-(3) "Obtaining sufficient feedback or counseling and using that information in adjusting, as necessary, to meet or exceed the standards"
- 10-B-4-c-(4) "Providing a list of significant accomplishments if desired i.e., the Enlisted Performance Support Form (EPSF)"
- 10-B-4-c-(5) "Requesting a copy of their EPEF, if desired"
- 10-B-4-c-(6) "Signing their name in the member's signature block indicating acknowledgment of:
 - 1. the counseling/review of their evaluation
 - 2. the impact of their evaluation on their Good Conduct eligibility
 - 3. their appeal time frame
 - 4. their advancement potential/recommendation
 - 5. their desire to participate or not to participate in the next Service Wide Examination"

10-B-4-c-(1)

STATE: "Learning the intent and procedures of the evaluation system as described in the PERSMAN" -- in other words, as part of the marking system you are **required** to read Chapter 10-B in the PERSMAN!

10-B-4-c-(2)

STATE: "Finding out what is expected on the job."

ASK: Where will you find out what is expected from you?

Some people may say the marks provide what is expected. THAT IS TRUE and you can acknowledge that. Then tell them the marks outline general behaviors. Where will they find out specific expectations? The answer you want is "their supervisors."

STATE: The best place to learn what is expected during a marking period is from your supervisor. Hopefully you can sit down with them at the beginning of the period and sets some goals and find out their expectations.

ASK: Why is it important to have goals?

It let's them know what to work on and gives them something to shoot for during the marking period -- it provides some direction.

STATE: According to the PERSMAN both the supervisor and the evaluatee are responsible for establishing these goals.

NOTE: It's not solely the supervisor's responsibility!
--

10-B-4-c-(3)

STATE: The PERSMAN also states, "Obtaining sufficient feedback or counseling and using that information in adjusting, as necessary, to meet or exceed the standards found in the performance dimensions."

ASK: When should they look to get this feedback? Why?

During the marking period so they can be sure to meet their supervisors expectations.

STATE: The PERSMAN does state, "no specific form or forum is prescribed for performance feedback." Performance feedback can occur anytime you get the opportunity to work with your supervisor.

ASK: When would be a good time to get some feedback?

ANYTIME -- but a midterm counseling session by the supervisor is very helpful in keeping on track to meet expectations and reach goals.

10-B-4-c-(4)

STATE: "Providing a list of significant accomplishments, if desired."

ASK: What are some ways you can provide a list of accomplishments to your boss?

They should say the Support Form you showed them earlier. If they do...

ASK: The support form is the way you provide input to your supervisor. But what's the best way for you to track your performance during the marking period?

Use the form to collect bullets during the period, Green log book/notebook, create their own file, etc.

ASK: How can this help your supervisor?

It helps justify their marks and makes it easier to complete the form.

Point out that the PERSMAN also requires the supervisor to provide a method for the evaluatee to give input.

10-B-4-c-(5)

STATE: "Requesting a copy of the marks form." This gives you a record of your performance.

10-B-4-c-(6)

STATE: This is the counseling session with your supervisor to review your goals and expectations and set up new goals for next marking period.

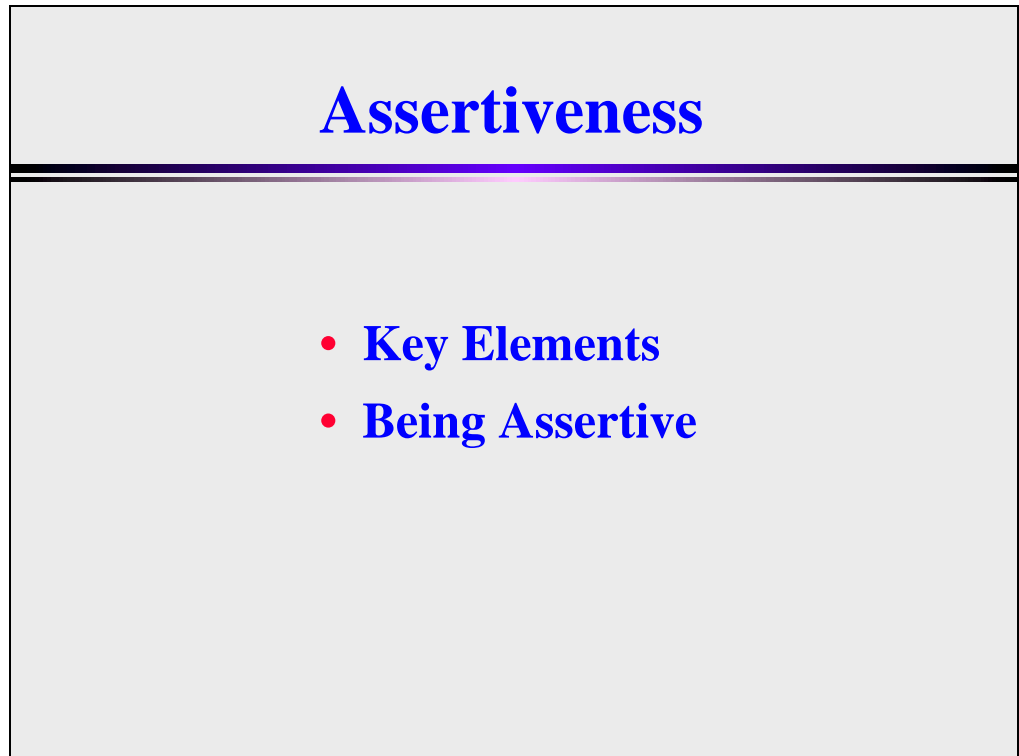
STATE: This information is just the highlights of the marking system. I encourage all of you to ask your supervisors if you have any questions. Also, make sure you read 10-B in the PERSMAN. Someday soon **you'll** be marking people.



Assertiveness

Assertiveness is the ability to state and maintain a position that may be counter to the position of others, until convinced by the facts. An assertive person isn't swayed by the position or personality of another person.

Road Map



Key Elements

STATE: Assertiveness can only be effective when people:

- Have and express their own ideas and feelings.
- Are listened to and taken seriously.
- Are treated with respect.
- Ask for information from others.
- Are allowed to make mistakes.

ASK: What are some examples of situations when you need to be assertive?

- When you think you've been given an improper helm command.
 - When you think someone is acting in an improper way.
 - When you have an idea that will improve the unit or avoid an error.
-

Being Assertive

ASK: What's the difference between assertiveness and insubordination?

Possible Answer: An assertive person presents ideas in a respectful and productive way, while an insubordinate person is aggressive and disrespectful.

STATE: Assertive people recognize boundaries between their ideas and those of others. They feel empowered to speak up and do it with respect.

STATE: Actions that indicate assertive behavior include:

- Ask task-related questions.
- Suggest alternative solutions/courses of action.
- State opinions of decisions/procedures that have been suggested.
- Avoid letting rank differences threaten mission safety/performance.
- Maintain their position when challenged, until convinced by facts.
- Confront ambiguities and conflicts,
- Ask for assistance when overloaded or having difficulty with a task.

STATE: Three specific situations when it's appropriate to speak up are:

- When you're unsure of the event or evolution you're participating in.
 - When you clearly believe you have a solution to a problem or an improvement suggestion for a situation.
 - When you believe that you or the unit is in danger.
-



Accountability & Responsibility

The Coast Guard recognizes that performance problems happen more often than necessary. This discussion about Accountability and Responsibility should raise awareness and thereby reduce performance problems.

Road Map

Accountability & Responsibility

- **Definitions**
- **Responsibility and Core Values**
- **11 General Orders**
- **Articles of the UCMJ**

Accountability

ASK: How would you define accountability?

STATE: According to leadership scholars, accountability is: "Accepting the consequences, good or bad, for the outcome of a situation for which you are responsible."

ASK: What are some ways you are held accountable in the Coast Guard?

Some examples include but are not limited to:

- Evaluations
- Getting placed on report
- Constructive criticism
- Positive Page 7
- Getting yelled at
- Awards

ASK: Why do we hold people accountable in the Coast Guard?

Possible answers: To maintain good order and discipline, We're a military service that needs discipline when performing our missions, etc. We expect devotion to duty.

ASK: What are some of the rules and regulations you're held accountable to?

You should get answers like:

- Uniform Code of Military Justice (UCMJ)
- Coast Guard Regulations
- Unit or Shipboard Regulations
- Coast Guard Core Values

Responsibility

ASK: How would you define responsibility?

STATE: According to leadership scholars, responsibility is: "Being answerable for the outcome or results of a situation."

ASK: With this definition in mind, what are some examples of someone being responsible?

Some examples include but are not limited to: Consistently doing your job, working late to get an important job done, Admitting a mistake, etc.

ASK: What are some of the behaviors needed to achieve a mark of 4 or higher in the "Responsibility" block of the non-rate Enlisted Performance Evaluation Form.

ASK: How do the Coast Guard's Core Values pertain to being responsible?

- Honor - Responsibility to tell the truth
- Respect - Responsibility to do your share of the work.
- Devotion to Duty - Responsibility to get the job done.

STATE: We are now going to read the 11 General Orders.

Pass them out and allow 5-10 minutes for the class to read them.

ASK: How do the 11 General Orders pertain to being responsible?

STATE: We are now going to read articles 90, 91, and 92 of the UCMJ.

Pass them out and allow 5-10 minutes for the class to read them.

ASK: How do these articles pertain to being responsible?

Eleven General
Orders

1. To take charge of this post and all government property in view.
 2. To walk my post in a military manner, keeping always on the alert, and observing everything that takes place within sight or hearing.
 3. To report all violations of orders I am instructed to enforce.
 4. To repeat calls from posts more distant from the guardhouse than my own.
 5. To quit my post only when properly relieved.
 6. To receive, obey, and pass on to the sentry who relieves me all orders from the commanding officer, field officer of the day, officer of the day, and officers and petty officers of the guard.
 7. To talk to no one except in the line of duty.
 8. To give the alarm in case of fire or disorder.
 9. To call the corporal if the guard in any case not covered by instructions.
 10. To salute all officers and all colors and standards not cased.
 11. To be especially watchful at night, and during the time for challenging, to challenge all persons on or near my post, and to allow no one to pass without proper authority.
-

UCMJ

Article 90 -- Assaulting or willfully disobeying superior commissioned officer

“Any person subject to this chapter who-

1. strikes his superior commissioned officer or draws or lifts up any weapon or offers any violence against him while he is in the execution of his office; or
2. willfully disobeys a lawful command of his superior commissioned officer;

shall be punished, if the offense is committed in time of war, by death or such punishment as a court-martial may direct, and if the offense is committed at any other time, by such punishment, other than death, as a court –martial may direct.”

Article 91 -- Insubordinate conduct toward warrant officer, non-commissioned officer, or petty officer

“Any warrant officer or enlisted member who-

1. strikes or assaults a warrant officer, non-commissioned officer , or petty officer, while that officer is execution of his office;
2. willfully disobeys the lawful order of a warrant officer, noncommissioned officer , or petty officer; or
3. treats with contempt or is disrespectful in language or deportment toward a warrant officer, noncommissioned officer, or petty officer while that officer is in the execution of his office;

shall be punished as a court-martial may direct.”

Article 92 -- Failure to obey order or regulation

“Any person subject to this chapter who-

1. violates or fails to obey any lawful general order or regulation;
2. having knowledge if any other lawful order issued by a member of the armed forces, which it is his duty to obey, fails to obey the order; or
3. is derelict in the performance of his duties;

shall be punished as a court-martial may direct.”



Communication

One of the key elements of an effective leader is “communicating for understanding.” A common bond between ALL good leaders is their ability to communicate effectively. Our best leadership intentions can be enhanced or squelched by how well we communicate.

Road Map

<h2>Communication</h2>
<ul style="list-style-type: none">• Communication Parts• Key Elements• Listening• Good Listening

Communication Parts

STATE: Communication between people is essential to accomplishing anything -- just look at our definition of leadership: YOU OTHERS GOAL. You can't even begin to reach the goal without it!

STATE: Fortune 500 companies specifically hire applicants with the ability to effectively communicate verbally, in writing, and with confidence.

STATE: Basic Communications consist of three parts: First there is a **message** or information to pass, someone to **send** the message, and someone who will hopefully **receive** the message. Therefore, the three critical parts of communication are the SENDER, the MESSAGE, and the RECEIVER.

ASK: Have you ever been misunderstood with what you have said?

It happens all the time.

STATE: Let's take a closer look at what happens here.

ASK: What are some of the ways we can kill communications in the workplace?

Encourage them to keep going for a few minutes. Their answers should reflect everyday life.

STATE: These things are referred to as **barriers** to communication.

ASK: If these are truly things that kill communications, what can we do to eliminate them?

Discuss effective ways to eliminate barriers and ideas that can lead to an action plan for the students. Things like closing the door, eye contact, putting the receiver at ease, not answering the telephone, not making light of their problems, paraphrasing, etc.

ASK: What is the advantage of removing as many barriers as possible?

This creates the environment for **effective two-way communications**.

Key Elements

STATE: Good communication can be difficult. The key is to focus on understanding and improving communication. Lets look at the key elements:

STATE: **Visual** elements are body language, **Vocal** elements are tone of voice, and **Verbal** elements are the actual words.

ASK: Which of these three do you think **tends** to have the greatest impact?

Visual elements.

ASK: Of Vocal and Verbal elements, which **tends** to have the next greatest impact?

STATE: Let's see how your answers match up with the experts.

Key Elements

- **55% - Visual**
- **38% - Vocal**
- **7% - Verbal**

STATE: According to research done by Professor Albert Mehrabian of UCLA, visual elements make up 55% of the message, vocal elements make up 38% of the message, and only 7% comes from the actual words used (verbal elements) to communicate the message.

ASK: So what does this tell us about the words we choose?

They only make up a fraction of the message!

ASK: What are some examples of the type of visual elements you have experienced?

Get input from everyone! There are a lot of good examples they can give such as rolling the eyes, hands on the hips, head shaking, crossed arms, wandering eyes, etc.

ASK: How do the vocal elements have an impact on the message?

Get more examples! Sarcasm is an easy one to illustrate, "Oh yeah, I'd **LOVE** to clean the head."

STATE: We may be saying all the right things, but actually sending something else to our receiver. What someone hears might not be what we are sending. It's not unusual for our visual and vocal elements to sometimes send conflicting and more or less intense messages than we intend.

Demonstrate examples of each of the three elements of communication and discuss how this is not always the level of impact in all our conversations. In other words, the verbal and vocal elements can jump to the highest impact sometimes. It depends on the communicator and the listener's perception.

STATE: When you look back and think about it, doesn't it seem like there have been times when you just wanted to say to your boss or someone, "YOUR ACTIONS ARE SO LOUD, I CAN'T HEAR WHAT YOU ARE SAYING!"

Listening

ASK: It's difficult enough to send the message, but how can you tell when someone is **really** listening? What are the clues?

ASK: So what does a good listener do?

Answers should include asking questions, restating what was said, good eye contact, paying attention, etc.

STATE: The opportunity to ask questions helps our communications in two ways. First, it provides better feedback; and second, it allows the communications to flow both ways.

ASK: Are listening skills something that comes easy to most of us? Why not?

Because we don't actively practice them.

STATE: This is a skill we all need to work on. We need to constantly remind ourselves to try and listen actively to what our people are telling us.

STATE: Let's look at some things we can do to help us become better listeners.

Good Listening

ACTIVITY: Give each participant a copy of the "Ten Commandments for Good Listening" (a master copy can be found at the end of this module). Go over each of the "Ten Commandments for Good Listening," using illustrations and examples from your own and their experience. Be sure to highlight the aspects of proactive listening.

STATE: By becoming better listeners, we reduce some of the barriers to communication.

STATE: Good communications starts with effective listening. Take what has been said here today and practice these skills with your subordinates, peers, and bosses. It **WILL** make a difference.

10
Commandments
for Good
Listening

1. **STOP TALKING:** You cannot listen if you are talking. Polonius (HAMLET) “Give every man thine ear, but few thy voice.”
2. **PUT THE TALKER AT EASE:** Help the person feel that he/she is free to talk. This is often called a permissive environment.
3. **SHOW THEM THAT YOU WANT TO LISTEN:** Look and act interested. Do not read your mail while they are talking. Listen to understand rather than to oppose.
4. **REMOVE DISTRACTIONS:** Don’t doodle, tap, or shuffle papers. Will it be quieter if you shut the door?
5. **EMPATHIZE WITH THEM:** Try to put yourself in his/her place so that you can see his/her point of view.
6. **BE PATIENT:** Allow plenty of time. Do not interrupt. Don’t start for the door or walk away.
7. **HOLD YOUR TEMPER:** Anger and emotion are strong barriers to good listening.
8. **GO EASY ON ARGUMENT AND CRITICISM:** This puts the other person on the defensive, which also provides a large barrier to good communications.
9. **ASK QUESTIONS:** This encourages the other person and demonstrates that you are listening and trying to understand. This generates feedback and additional questions for clarity.
10. **STOP TALKING:** This is first and last because all other commandments depend on it. You just can’t do a good job of listening while you are talking.

PEOPLE WERE GIVEN TWO EARS BUT ONLY ONE TONGUE, WHICH IS
A GENTLE HINT THAT WE SHOULD LISTEN MORE THAN WE TALK!



Teamwork

Working together to get the job done seems simple enough, but how easy is it? We'll take a close look at working in teams and how to make teamwork more successful.

Road Map



Optional Activities

It's sometimes helpful to kick off a session on teams with an exercise that demonstrates the power of teamwork and working together to solve problems. A couple of potential activities are: "How many squares" and "Finished Files." These exercises are outlined in detail at the end of this section.

If you chose one of these activities, conclude with a brief discussion about how the Team or Group was able to solve the problem easier than most of the individuals. Discuss how people see things differently and that diversity usually adds to better solutions to the problems we face.

Why Teams?

STATE: The ability of a group to achieve greater results is sometimes referred to as synergy. The whole is greater than the sum of its parts. In simpler terms, 1+1 adds up to more than 2.

STATE: This is one reason the Coast Guard has taken a team approach to our jobs.

STATE: Think of some successful team experiences you've had. They can be related to sports teams you've been on, school groups, or Coast Guard Teams. After you've thought about these, jot down some notes about what made them so successful.

(Allow time for them to write)

ASK: What are some of the characteristics you wrote about these teams?

ASK: What are some of the benefits of teamwork?

Possible Answers:

- Better decisions
- More involvement
- Everyone knows what's going on
- Everyone feels like they play a part in the work being done
- Diversity of ideas, etc.

STATE: Here's what the experts say about the characteristics of effective teams:

- Inspired leadership
- Specific, quantifiable goals
- Commitment and Loyalty
- Effective Communication
- Wins along the way
- Aware of external environment
- Performance - everyone does the work
- Open minded progressive thinking

- Recognition

Go over each of the above and discuss some examples of what it might look like

ASK: Are there any downsides to taking the team approach?

Possible answers: time consuming, conflict, lack of knowledge and or experience, lack of ownership/responsibility, etc

Decisions

ASK: Who makes decisions in the Coast Guard?

STATE: We can break this down into three types of decisions:

- Leader Made
- Leader Made w/ Input
- Team Made

ASK: What are the advantages to **Leader Made** decisions?

They are quick, direct, and you know what you want, etc.

ASK: What are the disadvantages?

There may be a lack of buy-in, might not have all information, no synergy, etc.

ASK: What are the advantages to decisions that are **Leader Made w/ Input**.

There is some buy-in, usually quicker than team made decision, more information to make a decision, etc.

ASK: What are the disadvantages?

They could be time consuming, may not use input (it is important that you let people know up front that you may not use their input), etc.

STATE: We've already talked about the advantages and disadvantages of teams and team based decision-making.

ASK: Based on what we talked about, when do you think it's appropriate for team decision making?

Answer: When there's time available and you'd like to invest the time to take advantage of the benefits we discussed earlier.

Group
Development
Stages

STATE: Just like an individual goes through stages of development, so do groups. In the case of groups, these stages are called Forming, Storming, Norming, and Performing.

Pass out copies of the “Stages of Group Development” (found at the end of this module).

STATE: Take a few minutes to review the Stages of Group Development chart, then discuss how your experiences fit into these stages.

Give them about 5 minutes for discussion.

STATE: In the storming stage of group development there is a greater potential for conflict to occur.

ASK: What are some ways to handle this conflict?

Possible answers include: get people to understand each others point of view, don't let the conflict get out of hand, explain to them that a little conflict is normal in the group process.

Squares Activity

Set up: Make copies of the grid at the end of this section or draw it on a chart pad. Pass out copies.

STATE: Individually, now write down how many squares you see.

Allow only a few seconds for them to do this. [NOTE: there are 30 squares.]

Split them into groups of 5-6 each.

STATE: Now, in your groups, take a moment to compare your answers and come up with a group answer.

ASK: Is your team answer different than you individual answer?

In most cases, the team answer will be larger.

ASK: Why is that?

A possible answer: In a team, we get to see diverse perspectives.

Finished Files
Activity

Set up: Make copies of the text in the box at the end of this section or draw it on a chart pad. Pass out copies.

STATE: Individually, read the sentence once and write down how many “Fs” you see.

Allow only a few seconds for them to do this. [NOTE: there are 6 “Fs.”]

ASK: How many did you see?

You will most likely get a variety of responses.

ASK: Who’s right? How many are there?

Wait until they realize the answer.

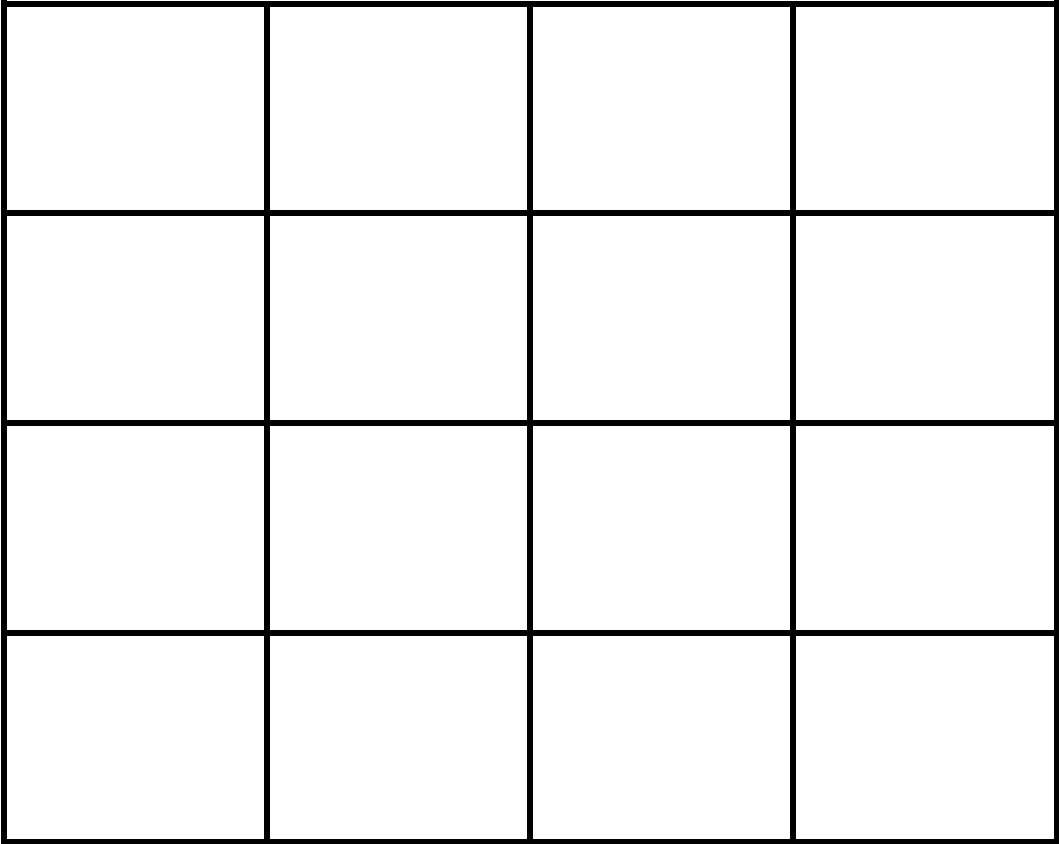
ASK: Why was it easy to miss some of the “Fs?”

Because of the V sound in the word “OF.” Since people were looking for the F sound, they did not register the V sound. To better accomplish the task, they could have read it upside down. That would have put the focus on counting rather than reading.

Stages of Group Development

Stages of Group Development				
	Form	Storm	Norm	Perform
Characteristics of the Group	<ul style="list-style-type: none"> • Uncertain • Tentative • Serious • Unclear of Goals 	<ul style="list-style-type: none"> • Conflict • Team organizing • Goals still unclear • Hostility • Defensive 	<ul style="list-style-type: none"> • Committed to task • Conflicts resolved • Harmony • Sense of team pride 	<ul style="list-style-type: none"> • Fully functional • Self-organizing • Flexible • Innovative
Team Member Behaviors	<ul style="list-style-type: none"> • Talkative • Polite • Fearful • Anxious • Optimistic • Seeking belonging 	<ul style="list-style-type: none"> • Disagree • May resist demands of teamwork & homework 	<ul style="list-style-type: none"> • Comfortable • Sense of belonging • Share willingly • Enjoy work • Work earnestly 	<ul style="list-style-type: none"> • Function well together • Understand others' views • Experience personal growth
Leader's Tasks	<ul style="list-style-type: none"> • Give clear direction • Get members acquainted • Create positive atmosphere • Assign straight-forward, simple tasks • Sensitive to members' need for direction 	<ul style="list-style-type: none"> • Open up conflict • Move toward negotiation & consensus • Get members to assume more tasks responsibly 	<ul style="list-style-type: none"> • Let team assign own tasks • Provide direction • Hold celebration • Encourage team to review own goals and progress • Listener & facilitator 	<ul style="list-style-type: none"> • Participate • Consult • Inspire • Be involved in tasks as needed • Keep comms & information flowing • Reinforce & celebrate achievement • Provide new vision
Output	<ul style="list-style-type: none"> • Little gets done 	<ul style="list-style-type: none"> • Low 	<ul style="list-style-type: none"> • Moderate to high 	<ul style="list-style-type: none"> • Very high
Facilitation Tasks	<ul style="list-style-type: none"> • Organize • Teach • Ground rules • Set standards • Goal setting • Manage expectations 	<ul style="list-style-type: none"> • Listen & observe • Enforce ground rules • Conflict management • Patient • Counsel • Advise • Intervention 	<ul style="list-style-type: none"> • Feedback • Affirm • Coach • Encourage 	<ul style="list-style-type: none"> • Foster consensus • Coach • Cheerlead • Withdraw

How many
squares do you
see?



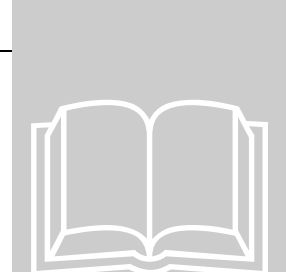
Finished Files

Read the sentence enclosed in the box below:

FINISHED FILES ARE THE RESULT OF
YEARS OF SCIENTIFIC STUDY
COMBINED WITH THE EXPERIENCE
OF MANY YEARS.

Count the “Fs” in the sentence. Count them once and do not go back to recount.

Number counted: _____



Personal Ethics

based on the book
"How Good People Make Tough Choices"
Copyright 1995 by Rushworth M. Kidder

Introduction

This module is designed to help all Coast Guard men and women understand the importance of ethical fitness and to provide a framework for analyzing ethical dilemmas. The "right versus wrong" issues we face have obvious "right" answers. True ethical dilemmas involve "right versus right" situations in which both choices are right, but one must be chosen. This module will help you prepare yourself to resolve ethical dilemmas.

How This is Different Than What You Have Seen Before: This entire module is based on *How Good People Make Tough Choices*, by Rushworth Kidder, president of the Institute for Global Ethics. The book may be purchased prior to the training for each student. The module follows the book's flow and uses examples provided in the book as well as examples from the students.

Road Map

Topics covered in this Module:

- ☐ Why Ethics Matters
- ☐ Ethical Fitness
- ☐ Core Values
- ☐ Right vs. Right
- ☐ Resolution Principles

WHY ETHICS MATTERS

Ask/Discuss: Why are we talking about ethics today? Where do we get ethics from? Should ethics be taught in school? Why/why not? If we found that there were values shared by all of us, would you say those values should be taught in school? Look at honesty. How many of you want your children to be honest? Is honesty a trait people value in each other? Should children be taught honesty in school?

State: Does anyone remember the Chernobyl nuclear explosion in the Ukraine in 1986? (Brief summary: The core of the Chernobyl Nuclear Power Plant exploded after inappropriate conduct by two engineers, sending a radioactive plume three miles into the air. 31 workers died, and thousands of civilians later died from radiation poisoning.) What were the events that led up to the single greatest nuclear disaster in the industrial age?

- Two electrical engineers were working in the control room
- They conducted an unauthorized experiment to see how long the turbine would freewheel after the power was removed
- They overrode six separate alarms that said “STOP!”
- They padlocked the valves in the open position to keep emergency over-rides from closing
- Core overheated and exploded

State: So why does ethics matter? One hundred years ago, if you took the largest ship in the world, filled it with the most hazardous cargo known at the time, got the skipper drunk and ran the ship aground in the most sensitive of natural habitats, how much damage would be done? Discuss the Exxon Valdez spill. What were the damages?

State: At what other times in history could a regular person off the street have caused so much damage with so little effort? Some examples include:

- Littleton, Colorado shootings
- Oklahoma City bombing
- Unabomber
- World Trade Center bombing
- The Exxon Valdez

State: These are examples of people who wanted to do damage. How about a truck driver carrying toxic chemicals driving for 24 hours straight at 20 miles above the speed limit so he can make his delivery on time to put

food on the table for his family? Or the person who is late for work so they speed through a neighborhood school zone? Or any of the hundreds of reasons we do things we know is wrong for some “justifiable” reason.

State: Ethics matters because one person (you) can make one bad decision that could adversely alter the lives of many people.

Moral Barometer

State: Let’s talk about something called the “Moral Barometer.” The Moral Barometer is a metaphorical scale to think about how our society measures up from a moral perspective.

Do: Split the group into equal sized teams of 3-5 people each. Have each team:

- Decide the direction of our current Moral Barometer (up or down)
- Provide specific examples

Discuss: Have the teams brief the results and supporting data. Facilitate a short discussion on the results. (There are no right or wrong answers).

Read: Read what William Wordsworth wrote to John Milton in response to his poem *Paradise Lost* from 135 years earlier:

“Milton! Thou shouldst be living at this hour:
England hath need of thee: she is a fen
Of stagnant waters; altar, sword, and pen,
Fireside, the heroic wealth of hall and bower,
Have forfeited their English dower
Of inward happiness. We are selfish men.”
Note: A “fen” is a low, flat, marshy bog
(Sonnet VIII, “London, 1802”)

State: The important point of the Moral Barometer is to give us a common framework for looking at issues and the world around us.

ETHICAL FITNESS

What is “Ethical Fitness”?

State: Ethical Fitness is a person’s state of readiness to make a “big” ethical decision.

Relating ethical fitness to physical fitness, most people are not asked to run a marathon every day. However, if you knew you would be asked to run a

marathon, you would begin training months in advance. You might run a few miles every other day and work your way up to 100 miles/week before the race. When asked to run the marathon, you would be ready.

Ethical fitness works the same way. We may not be required to make ethical decisions that impact many people every day; however, we need to be able to make small decisions that will help us become ready for an unexpected “ethical marathon.”

Do: Have a student read the “Trooper’s dilemma.”

Trooper’s Dilemma: “A large flatbed truck had gone off the highway and hit a tree head-on. On impact, its load of steel had torn loose and slid forward through the back of the cab, pinning the driver helplessly inside. The cab was on fire, in danger of exploding any minute. A state police trooper arrived on scene. As the trooper ran to the open cab window, he heard the truck driver inside screaming, ‘Shoot me! Shoot me!’ It was obvious that the trooper could not lift off that load of steel and free the driver. So, with the flames growing in intensity, the trooper slowly removed his service pistol from his holster. Then he paused, reconsidered, and slid the revolver back into his holster. And then amid the driver’s screams, he removed it a second time, paused, and put it back once again. It was at that point in this agonized struggle that the trooper did a remarkable thing. Running back to his cruiser, he grabbed a small carbon tetrachloride fire extinguisher. It was hardly enough to quell the fire. But it was large enough to spray in the driver’s face and put him to sleep, which is what he did. Shortly thereafter, the truck exploded.”

State: That Trooper was just handed a pair of running shoes and told to run a marathon. If he hadn’t been working out, it would have been a very painful and exhausting run. But the Trooper was ethically fit and able to choose a path many of us would never have considered. Would you be ready to make that kind of decision?

Morals and
Ethics

Ask: How do you define morals? How do you define ethics?

Do: Gather the responses of 3-4 people.

State: The word “moral” is derived from the Latin word *moris* meaning “manner, custom, habit, or conduct.” Typically, moral is used to mean that

which is good or proper. The word ethics is derived from the Greek word *ethos* meaning “custom, usage or character.”

State: A working definition of ethics is: “Obedience to the unenforceable.” At one end we have laws (or the enforceable) and at the other end we have free choice (or the unenforceable). In the middle is ethics. This is the middle ground where we technically can make any decision we want but we feel compelled to make a certain decision based on societal norms, morals, customs, etc.

CORE VALUES

Different Values Systems

Read: Have a student read the William Stafford poem “Traveling Through the Dark.”

“Traveling through the dark I found a deer
dead on the edge of the Wilson River road.
It is usually best to roll them into the canyon:
that road is narrow; to swerve might make more dead.
By glow of the tail-light I stumbled back of the car
and stood by the heap, a doe, a recent killing;
she had stiffened already, almost cold.
I dragged her off; she was large in the belly.
My fingers touching her side brought me the reason-
her side was warm; her fawn lay there waiting,
alive, still, never to be born.
Beside that mountain road I hesitated.
The car aimed ahead its lowered parking lights;
under the hood purred the steady engine.
I stood in the glare of the warm exhaust turning red;
around our group I could hear the wilderness listen.
I thought hard for us all—my only swerving—
then I pushed her over the edge into the river.”

Do: Questions to ask:

- What was this person thinking about?
 - What factors go into making a decision like this?
 - Was the person’s decision “right”? Why or why not?
- (Allow 10 minutes for discussion.)

Ask: What other types of value systems exist (other than moral values)?

- **Political values:** Many political values (certainly not all!) are not moral issues. One nation's foreign policy values may be grounds for intense discussion and may serve to separate people into liberal or conservative parties. However, your individual stand on most political issues probably will not get you labeled moral or immoral.
- **Economic values:** The types of clothes you wear, the amount of money you earn, and the stores where you shop do not classify you as moral or immoral.
- **Culinary values:** The types of food you eat—only vegetables or only meat—will not define you as moral or immoral.

Codes of Ethics

Ask: What is a code of ethics?
What does one look like?
Why do we have them?
What are some examples?

Discuss: Codes of ethics are becoming more popular in today's business world. Codes of ethics are designed to serve as simple moral rules by which a company lives. Many of you may think they are useless, but they can be very powerful! It is important to note that these codes are brief. The longest of the examples, the Boy Scout Law is only 12 items long. It is also the most widely memorized code of ethics. Codes of ethics are also not usually overly defined. They are simple enough that they can be interpreted and understood by everyone in the company.

Example: In 1982, Johnson and Johnson received a report that there had been some deaths from cyanide linked to Tylenol capsules. It was not clear whether the capsules were tampered with or manufactured improperly. Tylenol was generating \$100 million annually at the time. Using the code of ethics developed under Chairman James Burke, Johnson & Johnson removed every form of Tylenol from every shelf of every store. They recalled all of the products from their customers as well. The poisoning turned out to be caused by aberrant behavior and was not the company's fault. Eighteen months later, Johnson and Johnson had regained their market share and introduced their new tamper proof bottles and earned the respect of their customers for life.

Universal
Values

Do: Tell the group you would like to generate a large list of values. Make sure they understand that if a person does not have the trait, they will be considered immoral. Conduct an unstructured brainstorming session and write the items on a dry-erase board or flipchart. Once the list has been generated, eliminate repeats and combine similar items.

Do: Split the group into two. Give them the following directions:

- You now sit on a college's Board of Trustees.
- The new state of the art academic building has finally been completed.
- There is a large stone plaque above the entrance and you want to inscribe on it the three moral values that your students must have when they graduate.
- Using the large list that you just generated and as a group, choose the three most important moral values.
- Keep in mind—your future students will be considered immoral if they graduate without these traits.
- Each group will have 15 minutes to reach consensus.

Do: Have each group brief their list and explain why.

STATE: In doing these types of exercises, the Institute for Global Ethics found that there are eight core values that transcend culture, religion, race, and nationality. They are:

- **Love**
- **Truth**
- **Fairness**
- **Freedom**
- **Unity**
- **Tolerance**
- **Responsibility**
- **Respect for life**

Discuss: It is important that the students understand that these values come up the same, no matter the culture or time period. For example, It would be considered morally wrong to fly into any country and walk up to the first person you saw and steal their things or kill them or lie to them, or detain them, etc.

Values-Tactics
Ladder

Ask: Why do we care that there is a set of values shared by everyone?
What good could come from this knowledge?

State: There is a reason why we must care about having a set of values that transcend all cultures. By looking at common values, we can often redirect energy from arguments to conflict resolution. Let's look at the Values-Tactics ladder.



State: The Values-Tactics ladder shows that, generally, different people find common areas of agreement on Values. As they move down the ladder to the Goals, Plans, and Tactics for supporting those values, they are less likely to find common ground and often disagree. So in most cases, people don't become violently opposed to each other's Values—they argue over the Goals, Plans, and Tactics that support those Values.

Example: Let's take a look at the **value** of truth. We all likely agree that promoting honesty in our schools is a good idea. Usually we get 100% agreement on this value. So if we set a **goal** that no children will be caught cheating on their tests, most people will support this goal but some would be opposed because they feel that catching children cheating is not enough. Now let's say our **plan** is to set up video cameras in the classroom to catch potential cheaters. Less than 50% of the population would likely agree at this point. And finally our **tactic** might be to paddle all cheaters in the school gym in front of the student body. Probably close to 100% of the population would aggressively oppose this tactic. But remember we all agreed on the **value**—that honesty and truth are important!

State: The disagreement and conflicts over issues frequently stem from disagreements on the plans or tactics—not the values themselves. Looking at issues from this perspective helps us to see that there are always two or more sides to every issue.

Right vs. Right

State: Throughout our careers we sit through ethics courses that have told us simply to do the right thing. We were told, "Do not accept gifts of more

than five dollars in value from anyone. Do not cheat on your travel claim. Do not steal pens from work.” That is not what we are going to talk about here. Most of the time we all know when we are doing the “wrong” thing. When you are faced with a right vs. wrong decision, that is called a moral temptation. We are quite aware of the right thing to do, but we are tempted to do the wrong thing. There is usually an obvious “right” path to take in right vs. wrong decisions. We are now going to talk about true dilemmas—“right vs. right” situations. Let’s look at an example modified for the Coast Guard.

Example: Petty Officer Jones works for you. She has been an outstanding worker and you have written her several positive page 7s and nominated her for Sailor of the Quarter. Recently, she was diagnosed with a medical condition that is almost always disqualifying for continued service in the CG. Her medical review board findings are due any day now and she is understandably edgy. The CO calls you into his office and says, “PO Jones is not going to be staying in the Coast Guard. I know how sensitive these situations can be so I don’t want you to say a word about it to her.” As you get back to the office, PO Jones stops you and asks if you have heard anything. You see the stress in her face and realize that she is not handling the pressure well. What do you say?

State: This situation is a right vs. right dilemma. On one hand, it is right to maintain the confidence of your CO and follow a direct order. On the other hand, PO Jones is under a lot of strain and it is right to try to tell her the truth and help her. The first step in trying to find the best answer in a right vs. right situation is to figure out what type of situation it is.

State: There are four paradigms for right vs. right situations.

- ❑ **Truth vs. Loyalty**
- ❑ **Individual vs. Community**
- ❑ **Short-term vs. Long-term**
- ❑ **Justice vs. Mercy**

Truth vs. Loyalty

State: The example with PO Jones is a clear truth vs. loyalty situation. On the one hand we are told always to tell the truth and it is wrong to do otherwise. On the other hand, it is right to maintain our loyalty to friends and co-workers by keeping confidences.

Example: When might lying be the right thing to do? Imagine that you are a fighter pilot in an F-14. You are shot down over enemy territory. Your

navigator is injured but will survive. You bandage your buddy's wounds and hide him under bushes just as the enemy finds you. They ask you where your friend is. Do you tell the truth? Would you tell them, "He's over there under those bushes." Of course not!

Individual vs.
Community

State: Individual vs. community is similar to the Mr. Spock vs. Captain Kirk mentality as seen on the TV show *Star Trek*. On one hand you have Spock who says the needs of the many outweigh the needs of the few. But Kirk would say that the individual is more important than the many. Which is right? The answer, of course, is they both are. It is right to do what is best for the community. It is also right to protect the individual.

Example: During World War II, an American fighter pilot was captured by the Nazis, was tortured and forced to reveal all that he knew about future operations. Because he was not involved in planning operations, his information was not much use to the enemy. He was placed in a cell. Later, another pilot was placed in the same cell. This pilot was a friend and had yet to be interrogated. The second pilot asked his friend what kind of things the Nazis would do to him in the interrogation. As his friend spoke, he became more concerned. As it turned out, the second pilot was in operations planning and knew several key pieces of classified information. He knew that his threshold for pain was low and felt that the Nazis would easily get the information from him in the morning. He did not feel like he could kill himself so he asked his friend to do it before they took him away. What would you have done? It is right not to kill a person without just cause. On the other hand, many Americans would be killed if that information got out. Both are right but you cannot do both.

Short-term vs.
Long-term

State: We face long-term vs. short-term decisions daily. On the one hand, it is important to take care of the current needs. Conversely, it is right to prepare and plan for the future. The problem is, sometimes you cannot do both.

Example: You have just received a large check from an unexpected source. You and your family have been living lean and could use some extra money. Do you save the money for the future (college, car loans, etc.) or do you take your family on a much-needed vacation? Both are right, which do you choose?

Justice vs.
Mercy

State: Justice vs. mercy is one of the oldest dilemmas known. It is a choice between punishing by the letter of the law and granting leniency when there is wrong doing.

Example: You are the head coach of a high school basketball team. Your team had a fantastic season. You have three players who hold the majority of the talent on the team and you feel certain that college scouts will be looking their way soon. You have some simple rules that your players must follow. One of the rules relates to how you determine playing time. Everyone knows that if you miss a practice, you do not play. It is the day of a game against your biggest rivals, the Wildcats. Your three stars decided that they didn't need to practice yesterday because the Wildcats have not fielded a good team this year and you are predicted to win big. You also know that a number of scouts are here to watch the game. Given your policy, do you bench your stars or do you play them? It is right to enforce the rules and it is right to help your player's future. You have to do one and you cannot do both.

Paradigm
Exercise

Do: Break the class into groups of four six people. Have each student take about 2-3 minutes and describe the key points of a right vs. right dilemma they have faced. Each student should give enough detail that the group will understand what was happening but not so much as to lose the point. Then the members of the group should discuss if the situation is a right vs. right situation and identify which of the four paradigms the dilemma fits into?

Students should not discuss how they actually handled the situation!
(allow 45 minutes for this exercise)

Do: Have each small group present to the class the two dilemmas that they feel were the most interesting and what paradigms were involved.

Resolution
Principles

State: There are three principles that can be used for the resolution of the dilemmas we have discussed. **One note of caution:** These resolution principles are not magical formulas into which you pump information and get a correct answer. Resolution principles help you better understand your options and explain the decisions you made. We do not normally think about the principles of resolution; however, we probably know them well.

Ends-Based

State: This principle says we should do what would result in the greatest good for the greatest number of people. This is also called "utilitarianism." This idea focuses on the natural results of a decision rather than the rule that

governed it or the motive behind it. Modern policy making and legislation follows this concept.

The ends-based principle comes in two parts. The first part is the “greatest good.” The second part is the “greatest number.” Both of these ideas leave a lot to interpretation. The further into the future you look, the easier it is to rationalize different numbers of those effected. Also, if two or more “goods” could happen, the user has to determine which good is the greatest. The main drawback to this concept is it requires forecasting on the part of the user and people are rarely very accurate at speculation.

Rule-Based

State: The rule-based principle is derived from the reason for making a decision rather than the outcome. Its application is simple: the action to be taken is the one the user would choose under similar sets of circumstances for the rest of eternity. Or, “If I do this, I would want everyone to make the same decision under similar circumstances forever.”

This principle states that the outcome is of no importance. The important thing is that the action is one of duty and that possible ramifications to others are ignored. You have made the decision because that is what you would expect others in the same situation to do every time.

Care-Based

State: So what do you do if you don't like either of the two above options? You might think the rule-based principle is too cold and the ends-based principle is too unrealistic. If this is the case, then you might want to look into the care-based approach. Although this principle has several names, it is most often referred to as the “golden rule.” It is based on the concept of reversibility. The way to apply it is to place yourself into the situation as the receiver rather than the sender.

This concept is often thought of as a Christian proverb, and it does appear in the Bible. But it also appears in the Jewish and Islamic faiths as well as Confucianism, Hinduism, Buddhism, Taoism, and Zoroastrianism.

- ☐ The Bible states, “All things whatsoever ye would that men should do to you, do ye even so to them: for this is the law of the prophets.”
- ☐ The Talmud states, “That which you hold as detestable, do not do to your neighbor. That is the whole law: the rest is but commentary.”

- ❑ The Book of Islam states, “None of you is a believer if he does not desire for his brother that which he desires for himself.”
- ❑ Confucius stated, “Here certainly is the golden maxim: Do not do to others that which we do not want them to do to us.”

Applying the Resolution Principles

State: Now that you know about the resolution principles, let’s break up into the same small groups from the last exercise and apply each resolution principle to our two right vs. right dilemmas. Remember, this is not a majority vote—try and come to consensus on each scenario. After you have applied each resolution principle to the two dilemmas, the group should reach a final decision of how it would best solve these dilemmas. Keep in mind that just because two of three principles might lead you to choose the same course of action doesn’t mean that is the “best” decision. (allow 60 minutes for this exercise)

Do: After the small group discussions, have each group present the resolution principles for their two best dilemmas. Each group should explain how they interpreted and applied each resolution principle. Then have the class pick what decision they would have made based on the situation. Finally have the student present the actual decision he/she made to resolve the situation. It is extremely important to understand: **There are always at least two right decisions from which to choose. Neither is wrong.**

The “Tri-lemma”

State: Sometimes we may think that we only have two decisions from which to choose. That may not always be true. There are times when an unseen option may exist. It is important that we train our selves to look for the third alternative or the “tri-lemma.”

Closing

State: Don’t forget the trooper’s story. Initially the trooper thought he had only two courses of action. He had not looked for a third option right away. However, it was his ethical fitness and ability to analyze the situation that helped him resolve that situation and find a moral and ethical alternative.



Hazing Awareness

This booklet contains several tools which can be used at the unit level to conduct Hazing Awareness Training required by references (b) and (c). When the training is complete, the participants will know and be able to express each of the elements on the Road Map below.

Road Map

<h2 style="text-align: center;">Hazing Awareness</h2>
<ul style="list-style-type: none">• Commandant's Policy regarding hazing• Hazing in real CG terms• Responsibility regarding hazing incidents• Procedures for reporting hazing incidents

References

- a. Coast Guard Regulations (COMDTINST M5000.3), Article 4-1-15-A-(3)
- b. Coast Guard Personnel Manual (COMDTINST M1000.6), Chapter 8J
- c. COMDTINST 1610.1, Hazing Awareness Training

Article 4-1-15-A-
(3), USCG
Regulations...

“A Commanding Officer of a Coast Guard unit is responsible for the well-being of the personnel in the command and shall:

...

(3) Prohibit unit introductory initiations or hazing of personnel. Traditional initiations, such as for advancement to Chief Petty Officer or crossing the Equator, the International dateline, etc., are permitted, but they shall not include any degradation of character, sexual overtones, bodily harm or undue harassment, and shall be conducted with the complete knowledge of and oversight by the Commanding Officer...”

Article 4-3-2,
USCG
Regulations

“A. The authority and responsibility of an Officer in Charge corresponds to that of a commanding officer. Provisions of these regulations and of other instructions pertaining to commanding officers are applicable to officers in charge...”

Self
Assessment

Have class participants complete the self-assessment questions and then place them aside for use later. (Master copies are provided at the end of the module).

Pass out copies of the **U. S. COAST GUARD Hazing Policy Statement**. (Master copies are provided at the end of the module).

Choose 6 members of the class and ask each to read one paragraph of the statement. After each paragraph, discuss what was just read.

ASK: What is being said in that paragraph?

ASK: What does it mean to you?

ASK: Are there any words or phrases that need clarification?

Once the entire statement has been read and discussed in part, tie the six paragraphs together by asking the class to write a summary of it using 15 words or less. (It's surprising to see how much thought participants put into this exercise.) Then select several volunteers to share their summary.

ASK: What are some examples of what might be considered hazing *outside* the Coast Guard?

Hazing
Scenarios

Now pass out the hazing incident scenarios. An effective way to process these is to divide the class into 2 discussion groups and let each group work through a scenario.

STATE: Incidents like these are what put the spotlight on hazing and the impact it has on the organization.

Have the groups process the scenario using the following discussion points. If possible, make these discussion points visible to everyone using an overhead projector or chart and easel, etc.

Hazing Awareness

What do you suppose was the primary intent of the "initiation"?

In the scenario, when did the event cross the line from being a morale-enhancing "harmless practical joke" to hazing?

What specific events in the scenario constituted hazing? Why?

At what point should the event have been stopped? Who was responsible for stopping it?

After the scenarios are processed, have each group read their scenario out loud and present the answers to the discussion points.

Now, have the participants refer to the self-assessment questions they filled out earlier and facilitate a discussion around the issues covered there.

Q&A

During the training, several questions may arise about hazing. The following Q&As are from Enclosure (2) of COMDTINST 1610.1, Hazing Awareness Training.

Q Why is the Coast Guard placing such great emphasis on the prevention of hazing?

A The severe nature of the incidents described in this Enclosure helped bring this issue to the forefront. When initial inquiries regarding the magnitude of the Servicewide problem were made, the prevailing opinion of most Coast Guard members was that hazing was not a widespread problem and that these were just isolated incidents. However, further research revealed that hazing was more widespread than initially believed. The Hazing Policy Statement was developed to make our personnel aware of the problem and its consequences.

Q Why does the Coast Guard still allow Chiefs' initiations? Don't Chiefs initiations expose people to indignity and humiliation?

A Chiefs' initiations are OPTIONAL for those individuals who WILLINGLY participate, and are conducted by experienced personnel with extensive service and a clear understanding of Service norms, morals, values, and respect for individual dignity. Both the individual and those conducting the initiation know the purpose and meaning of the "rite of passage to Chief." It is a non-threatening experience. Once the initiation is completed, all participants dress in their uniform for a formal presentation, reading of the Chief Petty Officer's Creed, and pinning on of rank devices. The Creed and final stages of the initiation enhance individual self-esteem and explain why the indignities were imposed upon the initiatee. These initiations are attended by command leadership personnel who are totally responsible for ensuring that there is no degradation of character, sexual overtones, bodily harm or undue harassment.

Q Why does the Coast Guard still allow crossing the equator, dateline, Arctic and Antarctic Circle initiations? Don't they include physical contact and actions that can be degrading and humiliating?

A These initiations are command sponsored and attended by command leaders who are totally responsible for ensuring that the initiations do not include any degradation of character, sexual overtones, bodily harm or undue harassment. This seagoing tradition is also voluntary for the initiatee, international in character, and of long standing duration. At the conclusion of the initiation, a ceremony is held and certificates presented to those who were initiated.

Q Events like "tacking on crows" and throwing members over the side on promotion are Service traditions and are relatively harmless. Why not allow them?

A These events were banned because of their impromptu and unsupervised nature. They are not command sponsored or attended by command leadership. While often conducted under the pretext of fun or enjoyment, they frequently result in debasement of personal dignity or physical injury to a Service member.

Q If someone volunteers to submit to an initiation like "tacking on crows," is it still a violation of the hazing policy?

A Yes! The most likely reason for voluntarily submitting to this type of initiation is fear of rejection or ridicule by peers. Whatever the reason, volunteering for physical abuse is like waiving the right to be a human being. Furthermore, if one member of a command voluntarily submits to this type of initiation, other members of the command might feel compelled to "volunteer."

Q Don't unit initiations serve a positive purpose by allowing someone new to be accepted as a team member?

A The rite of passage is important to unit morale and "Esprit de Corps." However, there are constructive ways of accomplishing this. Sporting events and job related challenges are examples of rites of passage that do not subject our personnel to ridicule or possible injury.

Q Does the ban on hazing and unit initiations include practical jokes like sending a new crewmember for a bucket of prop wash?

A No. Practical jokes can provide a means of acceptance and by themselves do not constitute hazing. However, then practical jokes are used to ridicule, isolate and exclude Service members, especially when personnel have objected, the practice may result in a violation of the hazing policy statement. Common sense must be used at all times. If the Commanding Officer determines that a practical joke has resulted in a violation of the hazing policy statement, the Commanding Officer is required to take appropriate action.

Q How is a hazing policy going to prevent future incidents?

A The purpose of publishing a policy statement was to make all personnel aware of what does/does not constitute hazing. That, coupled with a knowledge of the consequences for violating the policy, will work toward eliminating hazing in the Coast Guard.

Close the training session by reviewing each member's responsibility if they are a victim or merely a casual observer of hazing. End with a strong COMMAND STATEMENT in support of the hazing policy.

USCG Hazing
Policy
Statement

“The practice of hazing will not be tolerated in the U. S. Coast Guard. Aside from serving no useful purpose, the demeaning and abusive activities associated with hazing inhibit performance, debase personal dignity, and can result in serious injury. To prevent it, we must develop an awareness of what constitutes hazing and understand the negative impact of such activities.

Although a general definition is difficult to provide, it typically occurs in connection with various impromptu and unsupervised “initiations” and is a result of the erroneous perception that the event gives license to subject an individual to personal abuse. Examples include: tacking on crows; throwing personnel over the side from ship or pier; application of grease, oil, or other noxious substances on a member’s body; forcing consumption or encouragement to consume excessive quantities of alcohol; shaving of heads or removal of body hair; offensive hitting, slapping, or touching another individual; and any other action which subjects an individual to ridicule or embarrassment.

Some incidents of hazing have been condoned as unit initiations or innocent jest without intent to harm. Although the actions or verbal harassment may be considered humorous by some observers, they often create a real fear in the minds of the victims. Further, they undermine the very morale and “Esprit de Corps” they purport to advance.

Traditional service “initiation ceremonies”, including Chief Petty Officer and crossing the equator, dateline, Arctic, and Antarctic Circle initiations are authorized. However, Commanding Officers shall ensure these events do not include any degradation of character, sexual overtones, bodily harm, or undue harassment.

Hazing constitutes military misconduct and its prevention is an all-hands responsibility. Victims and casual observers shall report all violations of this policy. There is no place in the Coast Guard for dehumanizing treatment and every incident of hazing shall be investigated and appropriate disciplinary actions initiated against the perpetrators, including those in the chain of command who tacitly condone such practice either by their inaction or by neglecting to investigate reported suspected incidents.

Our success as an organization very much depends on our people. A healthy, positive and professional work environment is essential to enable each of us to contribute. Strong support of this policy will help us maintain such an environment.”

Hazing Self-
Assessment
Discussion
Points

By working through these discussion points, we hope that you will begin to think about some aspects of hazing that you may not have thought of before. As well as you can, write down your responses to the points. Keep them private. Later in the session, you'll have the opportunity to share your responses.

What do you think hazing is?

Describe one or more incidents of hazing you have observed or you have been subjected to.

What do you think some of the consequences of hazing are?

Do you think hazing is a problem?

Hazing Scenario

1

This is a summary of an actual hazing incident aboard a Coast Guard unit.

A Seaman Apprentice, newly reported to a Coast Guard vessel, wrote his Congressman alleging that he had been physically assaulted and abused during an initiation conducted by crewmembers of the ship. The subsequent investigation into the allegations established that for several years a “tradition” had been established aboard this vessel whereby the junior petty officers in the crew (up to E-5) conducted an initiation of new recruits arriving directly from the Recruit Training Center. The morale-oriented events were approved by the unit Commanding Officer. The officers, chiefs, and first class petty officers aboard the ship eventually stopped attending these initiations. Permission to conduct the initiation was usually granted by the command at the end of the workday when the ship was underway. Over the years, different leaders of the junior petty officers came to conduct the initiation using their own values and ideas.

The investigation established that the initiates were stripped naked, blindfolded, and escorted into a forward area of the ship where supervision was not present. The initiates were required, one at a time, to stand in and then to sit in ice water. They were hooked up by their fingertips to a low-voltage generating device that could be hand-cranked to provide an electrical shock. This procedure was determined by the junior petty officers to be “safe”. Initiates were required to drink and eat various food products that were, at best, distasteful. Finally, a number of inappropriate acts of a sexual nature, including forceful grabbing and touching, were employed to embarrass the initiate.

When the practice was uncovered through investigation efforts, the crewmembers that participated in the initiation practices felt that it was “no big deal” and it was being blown out of proportion. Most of the crewmembers that had been initiated in this fashion felt that they were finally “part of the group” and were glad that the initiation occurred; because it made them feel accepted at the unit.

The petty officers that led the initiation practice had developed tremendous authority and power among the junior petty officers and non-rated persons aboard the ship. Most of this power derived from the control they exercised during the initiation process.

Hazing Scenario
2

This is a summary of an actual hazing incident aboard a Coast Guard unit.

This incident involved a Seaman Apprentice reporting from basic training to a Coast Guard vessel. The Seaman had been aboard less than a month when he went AWOL. While away, he wrote his Congressman alleging that he had been subjected to continuous physical and sexual abuse at the hands of the other deck force non-rates. This led to his contemplating suicide and ultimately to his decision to go AWOL. An investigation confirmed that from the time he arrived on board and continuing until he went AWOL, the victim was, in fact, subjected to flagrant abuse.

Initially, the Seaman was verbally harassed as the “new boot” when some crewmembers returned drunk from liberty. He was awakened after taps and coerced into doing push-ups. On one occasion, he was given several condoms, still in their wrappers, and told to blow them up. Another crewman later told him that he did not have to do that. He was subjected to being grabbed and poked in inappropriate areas while clothed as a part of his “right of passage”. He was subjected to questions of an explicit sexual nature and asked to get pornographic magazines for the other crewmembers. His towel was taken while showering and other crewmembers made offensive, derogatory comments about him while he walked back to the berthing area. He was further harassed by crewmembers having had ice poured down his pants and being covered by shaving cream and shampoo. He was told that he would have to get a tattoo administered by other crewmembers. He was teased about having the “duty rack” with the implication that people would come to him for sexual favors.

He was reluctant to use the chain of command to report the abuse because he was told in boot camp about “accidents at sea” happening to those who did. Further contributing to his sense of isolation and hopelessness was his belief that “since petty officers and other officers witnessed and heard about many of the things that went on, I felt that they would not do anything if I talked to them”.

The above activities resulted in the victim suffering from acute post-traumatic stress disorder.



Leadership Competencies

Leadership competencies are measurable patterns of behavior essential to leading. The Coast Guard has identified 21 competencies consistent with our missions, work force, and core values of Honor, Respect, and Devotion to Duty. More information on Coast Guard Leadership can be found in COMDTINST 5351.1.

The competencies fall into three broad categories: SELF, WORKING WITH OTHERS, and PERFORMANCE. Together, these leadership competencies are key skills that are crucial to achieving success as a leader in the challenging environment of today's Coast Guard.

In small groups, read each competency definition (on the next 3 pages). After each definition, have members of the group come up with personal examples of how that competency impacts a leader's ability to achieve success. Then have individuals in the group identify ways they can begin to put this competency into action.

Self

Fundamental to successful development as a leader is an understanding of self and one's own abilities, including personality, values, preferences, and potential as a Coast Guard member.

Accountability and Responsibility: Understand the Coast Guard's character and structure as a military service committed to being "Always Ready;" Recognize and use the chain of command appropriately; Understand the impact of your behavior on others, your unit, and the Coast Guard organization; Take ownership of your areas of responsibility; Use public resources efficiently.

Aligning Values: Understand and embody the Coast Guard's core values: Honor, Respect, and Devotion to Duty; Align your personal behavior with the Coast Guard's core values; Hold peers and subordinates accountable to the core values

Followership: Understand that all Coast Guard personnel are followers; Look to leaders for guidance and feedback on your performance; Seek and accept challenging tasks to learn and develop competence; Seek to understand others through listening and questioning; Work with leaders to ensure successful mission accomplishment.

Health and well being: Promote a safe work environment for yourself and others; Recognize and manage stress; Set a personal health example, emphasizing physical fitness and emotional strength; Encourage others to maintain health and well being.

Personal Conduct: Personify high standards of honesty, integrity, trust, openness, fairness and compassion; Be self-motivated, professional, and results-oriented; Have confidence in your own abilities and ideas; Learn your strengths and weaknesses; Use position and personal power appropriately.

Self Awareness and Learning: Seek opportunities for self-development and life-long learning; Choose to learn and grow from experience; Adapt your behavior and work methods to changing conditions and unexpected obstacles; Seek feedback on your personal and professional strengths and areas for improvement; Learn to manage your time effectively.

Technical Proficiency: Be prepared: learn, develop, and demonstrate technical and functional expertise in your areas of responsibility; Understand how your skills and actions contribute to mission readiness and performance; Keep current on technological advances; Effectively organize and prioritize tasks.

Working with
Others

Leadership involves working with and influencing others to achieve common goals. Coast Guard people interact with others in many ways, whether as supervisor, mentor, manager, team member, team leader, peer, or subordinate. Positive professional relationships provide a foundation for the success of our Service.

Influencing Others: Motivate others to achieve desired outcomes by directing, coaching, and delegating as the situation requires; Recognize the importance of building professional relationships; Develop networks of contacts and colleagues; Establish rapport with key players; Empower others by delegating power and responsibility and hold them accountable; Gain cooperation and commitment from others.

Respect for Others and Diversity Management: Understand and support the Coast Guard's commitment to respect for every individual in the workplace; Recognize and promote the value of diversity; Foster an environment that supports diverse individuals and perspectives, fairness, dignity, compassion, and creativity in the workplace.

Looking out for Others: Recognize the needs and abilities of others, particularly subordinates; Ensure fair and equitable treatment; Provide opportunities for professional development; Recognize and reward performance; Support and assist others in professional and personal situations.

Effective Communication: Learn to express facts and ideas succinctly and logically; Be an active and supportive listener; Encourage open exchange of ideas; Communicate face-to-face when possible; Write clearly and concisely; Speak effectively before an audience; Distinguish between personal and official communication situations and act accordingly.

Group Dynamics: Build commitment, pride, team spirit, and strong relationships; Recognize and contribute to group efforts; Foster group identity and cooperation; Motivate and guide others toward goal accomplishment; Consider and respond to others' needs and capabilities.

Leadership Theory: Study and understand different leadership theories and styles; Work with subordinates to develop their leadership knowledge and skills; Adapt leadership approaches to meet varying situations including crises.

Mentoring: Assist others in their development by sharing your experience and knowledge, Provide feedback to others on their leadership and career development; Help others identify professional goals, strengths, and areas for improvement.

Performance

Coast Guard people constantly face challenges in mission operations. To meet these challenges, leaders must apply leadership competencies in their daily duties.

Vision Development and Implementation: Set and work toward a vision for your unit, division, or department in line with the Coast Guard's overall vision, missions, strategy, and values; Establish and clearly communicate objectives; Initiate action and provide support and systems to achieve goals; Manage and champion organizational improvement.

Customer Focus: Focus on external requirements; Actively seek feedback and suggestions and encourage others to do the same; Ensure internal and external customers' needs are met.

Decision-Making and Problem Solving: Learn to identify and analyze problems under normal and extreme conditions; Learn to consider and assess risks and alternatives; Use facts, input from systems, input from others, and sound judgment to reach conclusions; Learn to lead effectively in crisis, keeping focus on key information and decision points; Commit to action; be as decisive as a situation demands; Involve others in decisions that affect them; Evaluate the impact of your decisions.

Conflict Management: Encourage open communication about controversial issues; Promote collaboration to manage contention; Confront conflict constructively to minimize impact to self, others, and the organization.

Performance Appraisal: Use goal setting, delegation, and effective communications to manage performance effectively; Articulate performance expectations to subordinates; Coach and provide feedback to subordinates continuously; Document performance; Seek out performance expectations for yourself and your unit.

Management and Process Improvement: Use goals, milestones, and control mechanisms to measure and manage performance; Evaluate progress and outcomes of current processes; Seek continuous improvement through periodic assessments; Improve products and services to meet changing customer needs.

Workforce Management Systems: Understand and support civilian and military promotion, advancement, training, assignment, and award systems; Support personnel working on advancement, special programs, training, and future assignments; Use formal reward systems to recognize positive performance and development.



Apollo 13: A Successful Failure

The movie “Apollo 13” is used to demonstrate some of the concepts discussed in the modules on leadership. The movie is 2 hours and 20 minutes long. Plan on showing the movie, pausing at each of the eight discussion scenes, and discussing the questions in the guide.

References

“Apollo 13,” Universal Pictures

“Lost Moon,” by Jim Lovell and Jeffrey Kluger

Role Call

Tom Hanks Jim Lovell, mission commander

Ed Harris Gene Kranz, flight director

Bill Paxton Fred Haise, lunar module pilot

Kevin Bacon Jack Swigert, command module pilot

Gary Sinise Ken Mattingly, original Apollo 13 command module pilot, bumped from mission.

STATE: We are going to watch “Apollo 13” to point out several leadership characteristics. Sit back, pay attention and enjoy the show.

During the following scenes, announce that there will be some specific discussion about them at the end. Note that the times are approximate and may vary.

Discussion Scenes:

1. First time in the simulator with Lovell, Haise and Mattingly (12:14 to 14:14)
2. Lovell's decision to remove Mattingly (23:10 to 26:40)
3. Second time in the simulator after Swigert replaces Mattingly (Part of time in #2)
4. The center engine cutoff immediately following the launch (38:00 to 39:30)
5. Swigert turning the command module around (41:50 to 44:25)
6. Everything around the line "Houston we have a problem" (51:00 to 55:45)
7. Shutting off fuel valve to Command Module and moving to LEM
8. Mattingly returning to flight control to describe the start up procedures

Pause 1

ASK: In the movie, Lovell mentions everyone has a part in putting a man on the moon—even the guy sweeping the floor. Why is that important?

-The need to have a sense of purpose, the basic "whys" to the job. Generally you will get more out of your people if there is time to explain the big picture.

-It's the leader's job to let the juniors understand the big picture.

ASK: During the flight simulator, what was the relationship between Lovell, Haise and Mattingly?

-GREAT relationship. During the crisis, they all acted a bit worried, but Haise and Lovell trusted Mattingly to get the job done. Could you see that trust in their body language? Yes. When they got out of the simulator it was obvious they were all impressed with Mattingly.

ASK: Why was there so much trust among the three members of Apollo 13?

-A lot of intense training and experience needed to build that trust. Like Honor in the CG Core Values, trust takes time to build.

ASK: When that simulation was over what did Mattingly want to do and how did he handle it?

-Wanted to do the simulation again to "get it right."

-Lovell and Haise did not; they had to catch early flights. Lovell, the mission commander made that clear to Mattingly.

-Without being insubordinate, Mattingly convinced the others to run the scenario again. Mattingly was respectful but insistent that they redo the drill. Mattingly used respect and facts to get his point across.

Pause 2

ASK: How would you have handled the dismissal of a vital crewmember?

-There is no right or wrong answer, generate a discussion about this issue.

Pause 3

ASK: Why were Haise and Lovell not confident with Swigert in the simulator?

-They had not worked well as a team. They did not have a chance to build any trust.

Pause 4

ASK: When the center engine quit shortly after take off how did the Apollo 13 crew and flight controllers handle it?

-They did a great job of communication from capsule to flight control

-Everyone on the ground did their jobs while maintaining a professional atmosphere. They followed established procedures and chain of command.

-There success can be attributed to an all around well-trained team capable of handle “standard” emergencies.

Pause 5

ASK: When Swigert docks the Command Module with the Lunar Module, how do Lovell, Haise and the flight controllers act?

-Almost micro-manage, very uneasy. Why? He still had not demonstrated any skills up to that point.

Pause 6

ASK: Describe Gene Kranz during the onset of the major accident.

-Calm and focused; Got people working on short term goals to attack the problem.

-He kept them focused on solutions instead of complaining about circumstances.

-He did not assign blame but focused on getting answers from his flight controllers so he could make an informed decision.

Pause 7

ASK: What was the most important thing Kranz did when Lovell questioned the command about shutting off the valve to the O2 tanks?

-Kranz could have just said “do it;” however, he informed the astronauts that this appeared to be the only way to solve the problem. Providing them with the big picture—the “whys.”

ASK: Lovell decides to power up the LEM to serve as a lifeboat before Flight Control made that recommendation. Where did Lovell get that idea?

-It came from being an expert in his field and devoted to his job. He used his training, knowledge, and experience to come up with a different option.

ASK: While Kranz was working with the flight controller to figure out what happened, he took several opinions before he made a decision. Why?

-Leaders are not always experts in every area but they do know and respect the opinions of the people who work for them. Kranz made decisions based on input from his experts throughout the film.

Pause 8

ASK: Describe Mattingly's devotion to duty.

-Very high. He worked harder than anyone to solve the power-up procedure despite being bumped from the mission.

ASK: When Swigert is in the command module with Lovell and Haise, what differences did you see?

-Swigert acted with more confidence.

-Both Haise and Lovell seemed more comfortable with him. The ordeal had built a trusting relationship.

ASK: Why did Lovell say the mission was a "successful failure?"

-The amount they learned about themselves, NASA and the Apollo systems gave them a wealth of knowledge.

-Despite overwhelming odds the final objective was met. GET THE CREW HOME.

Overall Points

Even during the crisis, communications to the capsule went through one person. This definitely kept the confusion to a minimum.

Both Lovell and Kranz never lost sight of the overall objective. GET HOME ALIVE. Throughout most of the movie, many people got caught up in little "tasks." The tasks are important but sometimes we lose sight of the final objective when we focus on the tasks. Both Lovell and Kranz time and again stated that the mission would not fail.